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ABSTRACT

Intended for special education administrators, the booklet provides information on the scope, philosophy, and operating methods of grant making foundations; the grant making process; and the potential relevance of foundations as a resource for special education programs. Sections are included on the following topics: an overview of foundations (including a description of the different types of foundations); steps for finding an interested foundation (things to know about the foundation before making the approach); and ways to contact a foundation (preproposal preparation, the letter proposal, and the personal interview). Appended is information on resources for grant-seekers (including descriptions of the Funding Sources Clearinghouse and the Foundation Center, and a list of relevant books and publications). (SB)

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UNDERSTANDING GRANT-MAKING FOUNDATIONS

**a learning package
for self-study**

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UNDERSTANDING GRANT-MAKING FOUNDATIONS

a learning package for self-study

Introduction

Goals of the Learning Package:

1. To develop an understanding of (a) the scope, philosophy and operating methods of grant-making foundations; (b) the grant-making process, and (c) the potential relevance of foundations as a resource for special education programs.
2. To provide workshop training materials which will introduce foundations to a wider audience.

This learning package is not intended to provide specific information on specific foundations.

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Section I

About Foundations

What is a Foundation?

In a recent book, *The Money Givers*, a foundation is defined as "a large body of money surrounded by people who want some."

More precisely, *The Foundation Directory* defines a grant-making foundation as "a nongovernmental, nonprofit organization, with funds and program managed by its own trustees or directors, and established to maintain or aid social, educational, charitable, religious, or other activities serving the common welfare primarily through the making of grants."

An estimated 26,000 foundations in the United States distributed grants totaling \$2.11 billion in 1974. This was an increase of 5.5 percent over the previous year. Of this total, education received \$3.72 billion, 14.8 percent of the total, the same amount as in 1973. As a result of mandatory payout provisions of The Tax Reform Act of 1969, foundations can be expected to continue to increase their annual rate of giving for several years to come.

Foundation grants are an important resource for all nonprofit organizations today. But foundation giving is limited by specific interest areas, geographic considerations, granting levels, special policies and restrictions. You must know a great deal more about foundations in order to successfully solicit foundation funds.

How Many Foundations Exist?

Most people today are familiar with the names of The Ford Foundation, The Rockefeller Foundation and perhaps a few other "giants" in the field. However, the total number of foundations in the United States is estimated at about 26,000 and could reach 30,000 soon.

Foundations fall into the following categories by wealth:

- 38 with assets over \$100 million
- 600 with assets over \$5 million
- 2,500 with assets over \$1 million
- 5,000 with assets over \$500,000
- 20,000 with assets less than \$500,000

While the majority of foundations have assets of less than \$500,000 (and more than half of these have less than \$50,000), these smaller foundations are often the most productive ones for nonprofit programs with a local focus.

Where Are The Foundations Located?

All recent studies have indicated a heavy concentration of American foundations in the industrial East, especially in New York. The concentration is true for both number of foundations and wealth of foundations. However, many foundations located in the East distribute funds throughout the country and, in some cases, internationally.

The 1975 Fifth Edition of *The Foundation Directory* provides this information on the 2,533 foundations with more than \$1 million assets by geographic region with ranking by assets:

	No. of Foundations	Ranking by Assets
Middle Atlantic*	809	1
East North Central**	518	2
South Atlantic	283	3
West South Central***	194	4
Pacific****	253	5
West North Central	167	6
New England	206	7
Mountain	52	8
East South Central	50	9
Puerto Rico	1	10

* New York is responsible for most of this total.

** Illinois, Michigan and Ohio are important here.

*** Texas is the major factor here.

**** California has the majority of foundations in this region.

Foundations in less industrialized sections are increasing in numbers and wealth, with California and Texas showing the most substantial growth.

Types of Foundations

General Purpose Foundations:

This category includes most of the major foundations such as Ford and Rockefeller. These foundations are the most well-known, the most competitive and, therefore, the most difficult to obtain money from. They generally prefer to relate to larger institutions or to programs of special significance within certain fields of interest.

Special Purpose Foundations:

These restrict their grants to a specific area of interest such as health, art, etc. They are a good source of support if your project falls within their interest area.

Corporate or Company-sponsored Foundations:

Federal law allows a corporation to give 5 percent of its adjusted gross income to charitable and/or educational activities. Actually, businesses now give only about 1 percent. Many corporations have established corporate foundations as the vehicle for distributing their charitable contributions. Of the 100 largest corporations listed by *Fortune*, more than 60 percent today have foundations.

However, a study undertaken in late 1970 of 240 corporate foundations showed that about 10 percent were being phased out, probably as a result of the restrictions posed by the Tax Reform Act of 1969. For this reason, and because corporate contributions to their foundations reflect the ups and downs of the economy and the corporation's profits, corporate foundations are an unstable lot.

Corporate foundations generally limit contributions to localities where the company has an interest, or to fields of activity which relate to the company's type of business.

Community Foundations:

Assets of community foundations have increased more than 30 percent since 1971 due to their favored status under the 1969 Tax Reform Act. Community foundations are endowed grant-making philanthropies which generally focus their support on the community and local area where they are located. Usually, a representative governing body of community leaders administers the funds. Donors to community foundations sometimes earmark special purposes or special beneficiaries for their gifts. Community foundations report regularly to the public on their activities.

Because of their public nature, community foundations are classified as "public charities" by the 1969

Tax Reform Act and are not subject to the four percent excise tax and other regulatory provisions that apply to private foundations. One reason for the rapid growth of community foundations in recent years is that some private foundations have transferred their assets to community foundations to avoid Tax Reform Act provisions.

To find out if a community foundation exists in your area, write to the Council on Foundations, 888 Seventh Avenue, New York, NY 10019, which is planning to publish a new handbook on community foundations in late 1976.

Family Foundations:

The great majority of foundations are family foundations, which are set up and controlled by the donor and his family. Their grants generally reflect areas of personal interest to family members.

Who Can Receive Foundation Funds?

With rare exceptions, foundations distribute their funds only to organizations which have been declared tax-exempt by the Internal Revenue Service (IRS).

The law does not prohibit grants to non-tax-exempt organizations or to individuals. However, the 1969 Tax Reform Act provides stiff penalties if foundations' funds are misspent,* and most foundations feel safer giving the funds to a recognized tax-exempt organization.

Foundation Decision-Makers

Larger foundations have two levels of decision-makers: staff and Board of Directors or Trustees. In this type of foundation, the staff screens proposals, interviews applicants and does the background work prior to recommending that a grant be made. The Board of Directors or Trustees usually makes the final decisions.

The vast majority of smaller foundations have no paid staff. Often, one of the Directors, usually a lawyer, or perhaps a family member, handles the screening of requests and general business of the foundation.

Recently, the increased reporting requirements and greater number of applications which foundations are

*If foundation funds are misspent to influence elections, affect legislation or support illegal actions, the government can impose fines on the foundation and its officers and staff; in extreme cases, it can revoke the foundation's tax-exempt status.

receiving, have caused some smaller foundations to join together and share professional staff. Generally, under this type of arrangement, the Board of each foundation still makes the final decisions regarding which grants will be made.

Board members of foundations are primarily businessmen. University personnel, religious leaders and, in some cases, medical specialists, are also represented in fair numbers. Foundation Boards rarely include young people or members of minority groups. Women are fairly well represented on *family* foundation boards, often playing a major role.

The 1969 Tax Reform Act and Foundation Support

In 1969 Congress enacted the Tax Reform Act and, for the first time in history, subjected the foundations to several regulations, namely:

1. A 4 percent excise tax on foundations' net investment income.

2. Prohibition against self-dealing.
3. Requirement of an annual payout of six percent of market value of assets as of 1975, or payout of all investment income, whichever is larger. *Many foundations must pay out more of their assets now in grants.*
4. A 20 percent limitation on a foundation's ownership of any corporation.
5. Restrictions on foundation support of voter registration programs or other attempts to influence legislation.
6. Requirement that foundations make available to the public the annual report which they file with the IRS. The law states that the annual report must be available in the foundation's office for 180 days following filing. Foundations are not required to make copies for distribution or to respond to mail requests.
7. Tighter controls for foundation grants to individuals.

Some Examples of Foundation Grants For Special Education

- \$5,000 to De Paul Institute (PA) by ALLEGHENY FOUNDATION for electronic teaching equipment for educating handicapped children.
- \$37,428 to Society for Crippled Children (OH) by GEORGE GUND FOUNDATION for pre-school education project.
- \$50,000 to Grove School (IL) by the LILLY ENDOWMENT for planning and development costs of new school building for multi-handicapped children.
- \$15,000 to Speech Rehabilitation Institute (NY) by the BODMAN FOUNDATION to support School for Learning Disabilities.
- \$5,000 to East Harlem Protestant Parish (NY) by the NEW YORK FOUNDATION toward a summer program for children with retarded learning.
- \$5,000 to Travis State School (TX) by the HOUSTON ENDOWMENT for a school for the mentally retarded.
- \$27,575 to the Churchill School (NY) for children with learning disabilities, by the J. M. FOUNDATION, for scholarships.
- \$5,000 to Matheny School (NJ) by ROBERT WOOD JOHNSON FOUNDATION for equipment support.

CAUTION: If you see that a foundation has made a grant for support of a specific activity such as "the development of a school of business administration," you should not assume without further evidence that this foundation is now supporting this kind of program generally. The grant description is only a first indicator of program interests and may be misleading. At this point, you should determine the total context of the foundation's program, its policies and restrictions, its geographic focus, if any, and other qualifying factors.

What Will a Foundation Look For In A Proposal?

First, *every* foundation is going to ask, "Does this project fit within the foundation's program interests and other qualifying policies?" Many foundations will not even consider proposals which have clearly been reproduced and mailed "shotgun" style to hundreds of foundations. (Note: Section II deals with how to research foundations to locate the best prospects for your particular project.)

While each foundation has its own philosophy, program interests and special restrictions, some general observations can be made about how foundations approach the review of grant proposals.

Most large, national foundations (and some smaller, sophisticated foundations as well) consider a project's value from a national perspective. They will ask:

- What is the impact on the national scene?
- Is it an experiment with transferral potential?
- Is it addressed to a need that other organizations also are feeling?
- Is the project of importance to society at large?
- Will the project duplicate other efforts?

Requests for general institutional support will probably not be considered by a large national foundation unless they fall within distinct programs already established by the foundation.

Smaller, regional and localized foundations are generally concerned more with the value of the project in itself and its impact on the local community rather than its national implications.

Once this distinction between national foundations and others is made, the questions which foundation officers ask applicants are similar:

- Is the need real?
- Is the project soundly conceived?
- What is the applicant's track record?
- Who are the people associated with the program?
- Do the necessary resources exist to implement the proposal?
- Have all existing financial sources been exhausted before coming to the foundation?
- Is the operation efficient and not wasteful of funds?
- Are there other sources (such as the community or government programs) which would more logically be called upon to support this project?
- Is the budget realistic and "tight"?
- Who will benefit and how?

- How will accomplishments be measured and evaluated?
- If continuing financing is required beyond the immediate grant, how will it be supplied?

This investigation process undertaken by a foundation can take from six months to two years to complete. So be prepared!

A Foundation Official's Philosophy

It is not common for foundation officials to write about the principles which guide their grant making. However, Lindsley F. Kimball, who has been closely associated with Rockefeller philanthropic interests, shared his perspective in a speech recently.

His principles, briefly summarized, are:

1. First consideration is the people involved. Money is enslaving; only people produce.
2. A good prospect for support demonstrates considerable degree of *innate* viability and capacity for self-help. If an applicant says: "Without your support, the project dies. . ." he is not likely to get the grant.
3. Charitable giving should encourage action.
4. The end should be greater than the means. Something significant should be left when the money is gone.
5. Foundations are interested in relating their support to grants made by others. There is a danger of too much dependence on one large source.
6. When applicants ask for too much or too little, it shows lack of realistic planning.
7. Funding sources may give when no one else can — and hold back when other sources are available.
8. Giving is an investment — not charity. Consider what the foundation gets out of making a grant.
9. Foundations like project support rather than general support.
10. When the occasion is right . . . forget every other rule! Foundations are uniquely flexible agencies in today's world.

"Foundations like project giving because that provides the only way to do a job and get out. The extent to which they are caught in general budget support is a measure of the degree to which they tie up their own initiative."

Lindsley F. Kimball

Foundation News, M/A '74

Section II

How Do You Find A Foundation Interested In Your Program?

"... The objectives of foundations change and flow over time. It is important for the applicant to keep up-to-date, knowing funder purposes and trends, seeking support from the sources with kindred current purposes."

*U. of Pennsylvania Study of
Government and Foundation
Grant Decision Criteria*

Research Is The Essential First Step

While foundations do give generously, they have specific program interests and restricting policies. Careful research is essential to (1) identify the best funding prospects, and (2) acquire background information on the foundation in order to tailor your approach to the foundation in question.

The major problem for any grant seeker who is trying to research foundation is knowing exactly *which ones* out of the 26,000 are likely prospects to approach for a specific funding need.

If you consult only local foundations, you will miss the many foundations located elsewhere which also contribute in your area or to your type of program. And your local area may have thousands of foundations to research!

A common error on the part of grantseekers is to read too much into the fact that a foundation has made one or two grants to projects similar to theirs. A grant is only the first clue to possible foundation interest and further research is necessary to determine:

1. Is the grant representative of the foundation's total giving pattern or an aberration?
2. Has the foundation changed its interests since the grant was awarded?
3. What other restricting policies affect grants by this foundation?
4. What is the purpose of the grant? For example, a grant made to a museum may be for art classes

for inner city children and the foundation's real interest may be minority groups and not museums.

What To Look For

Assume you have identified a few foundations that appear to be prospects for your project. In many cases the key to a successful proposal is developing a strategy which will establish a relationship between your organization and the foundation. In order to do this, you must know a great deal about the foundation before making the approach, for example:

1. Full, legal name of foundation and proper mailing address.
2. Type of foundation
3. Current priorities and interests
4. Total funds available
5. Size of typical grant
6. Nature of typical grant pattern
7. Limitations specified in guidelines
8. Application procedures
9. Contact person
10. Background on foundation officers and trustees
11. Possibility for renewals

The better you know your foundation prospects -- the better your chances of success!

What Information Sources Exist?

Because of the large number of foundations, information is voluminous. It is also fragmented, not easily accessible and often difficult to interpret. Nevertheless, homework is essential. What sources exist?

Published Annual Reports:

About 350 of the 26,000 foundations publish an annual report which is available by writing to the foundation itself. Annual Reports also can be seen at the Foundation Center Regional Collections (see Appendix). Generally, these reports list grants awarded in the previous year and outline the foundation's policies.

Foundation Tax Returns (IRS Form 990-AR):

This form, filed annually by each foundation, contains information on foundation managers, gifts received during the year, grants awarded and pledged

for future payment, and information on the foundation's financial holdings. It does *not* include information on application procedures, meeting dates, current priorities, policies and restrictions, or background on foundation managers. Copies of these forms on *microfilm* can be examined without charge at The Foundation Center's public regional collections (see Appendix).

Reference Books and Publications:

The *Foundation Directory* is the most well-known reference book and available in most libraries. The latest edition was published in 1975 and contains listings of 2,533 foundations with assets of \$1 million and more. Additional research would be required to carefully analyze a foundation's program.

Most other reference books deal with a limited number of foundations or foundations with a special interest such as "the arts". Additional reference books and periodicals are listed in the Appendix.

"Foundation staff are getting as hardnosed as bankers. You had better have your homework in order before you knock on the door."

Robert A. Mayer,
Vice President for Administration
The Ford Foundation

Section III

How Do You Contact Foundations?

What Educational Projects Are Best Suited To Foundations?

Foundations — individually and as a whole — do *not* have the financial resources of government agencies. Therefore, they must choose their grantees carefully in order not to dilute their funds.

Foundations generally will not consider funding any programs for which public money is available, so any approach to foundations should clearly indicate that public funds are not available (or desirable) for the proposed program.

In addition, most foundations prefer to fund . . .

- **demonstration projects**, to establish the effectiveness of a concept or program which will then be picked up by larger sources of federal funding or integrated into existing educational programs;
- **consortia**, or programs which foster inter-agency cooperation and sharing of resources;
- **seed grants**, to get a promising new program off the ground;
- **research programs**, which add to the body of knowledge in certain fields of interest to foundations;
- **resource centers**, which can serve many schools (most foundations avoid local school projects because their monies will not extend to all the local schools which might ask for their support);
- **dissemination projects**, which spread the word about particularly effective or innovative programs;
- **curriculum development**, which has application on a broad scale;
- **special-need populations**, such as minorities or the handicapped.

Some foundations have initiated specific educational program models which they want to implement

in selected locations throughout the nation. In these cases, the foundations look for institutions which are best equipped to implement the programs indicated. An example of this is the Charles Stewart Mott Foundation's community school program.

Pre-Proposal Preparation

Establishing Policy

Proposal writing is an integral function of the agency's overall planning process. A clear statement of your organization's basic purpose is essential, especially if you are not already known to the person receiving your application.

Every application for a grant should be based on a real need as judged against a basic set of goals for your organization.

Assessing Needs

A proper assessment of your group's needs should cover every facet of your operation — without consideration of current budget limitations. This is the time for creative thinking! All the ideas for improvement or innovation should be explored.

Make your needs assessment thorough and unreversed. Then you are better prepared to take advantage of the bountiful array of grant programs, many of which are specifically designed for new ideas.

Techniques of Assessment:

- a) information or round-table discussions
- b) questionnaires to program participants or community residents
- c) testing of target population
- d) examination of existing reports and/or previous surveys and evaluations
- e) evaluation by outside professional consultations
- f) special purpose surveys directed toward conditions of interest to your group
- g) periodic internal reviews by each staff member, program participant, department, chapter, etc.

GRANTSMAN'S TIP:

Think of your organization's program in terms of projects suitable for grant support. Keep a desk file of grant ideas and develop rough drafts of these ideas as you have time. Frequently funding opportunities arise with very short deadlines. Be prepared to move quickly.

Planning A Proposal:

While a good idea, well described and directed to a funding agency with compatible interests is essential in obtaining a grant, there are certain strategies that help in planning the proposal.

Timing

There are often deadlines or a choice of deadlines for submission of proposals to certain agencies. Whether this is true or not, there are certain times of the year that are better for submitting certain proposals than others.

Some factors which will influence the timing of proposals:

1. A foundation's schedule for board meetings during which applications are reviewed;
2. Many agencies accelerate action on proposals at the end of the fiscal year to allocate uncommitted funds;
3. Local agency budgeting dates if local funds are required for the program.

Personnel

Many funding agencies are concerned about who will serve as project director for the proposed grant. If this is the case, time must be allotted for recruiting good prospects.

Local Support

This means agreement with the idea for the project on the part of local organizations or others who may be affected by the proposed program.

Today, more than ever before, there is concern for advance participation in the planning by the consumers of a service. Many grant programs have specific "checkpoint" procedures which require sign-offs by relevant local organizations affected by the proposed project. Other applications are greatly strengthened by inclusion of support letters from heads of relevant organizations or the existence of an

advisory committee developed specifically for the project.

Effective local publicity campaigns are often overlooked in planning a proposal. Articles in local newspapers as well as information releases to important persons will help generate support. Often misunderstanding and opposition to your program come only from lack of information.

A word to the wise! Proposal reviewers have been known to call a local contact to check out a program requesting funds.

Planning Grants

One of the ironies is that it costs time and money to prepare a good proposal, yet it is difficult to obtain funds until after the grant is approved.

Some foundations and a few government grant programs will provide specific planning grants. This should be explored.

If you already have a grant, give some thought to how you can use current resources for planning for the next grant application.

Expert Advice

Programs should be encouraged to utilize the services of professionals whenever possible. Drawing on their valuable experience can greatly increase the funds secured by your organization through grants. The most successful organizations all rely on professionals — whether on their own staff or as outside consultants.

The "Letter Proposal"

Initially, most foundations prefer a brief "letter proposal" which tells your story within four pages or less. This gives the foundation a chance to determine if your program falls within its guidelines and interests. If it does, the foundation will request additional information or a more formal proposal.

While brief, the letter proposal should succinctly and persuasively cover the following points:

1. What is the agency requesting funds?
2. What need is the agency seeking to meet?
3. What is the proposed program?
4. What are the qualifications of the agency to perform this program?
5. How much is the program going to cost?
6. How is the agency going to implement and manage the program?
7. What means will be employed to ensure that the stated needs are met?
8. Why should this particular foundation get involved in the proposed program?

Try to think of a slogan or catchy title for your project. This will help the foundation officer identify your proposal easily amid the many he receives each week.

If you feel that supporting documents or materials are essential to demonstrate the credibility of your proposal, include them in the form of an appendix. Such documents might include:

1. resumes of principal staff,
2. letters of endorsement,
3. publicity about your program,
4. financial statements or projects,
5. brochures describing your agency,
6. drawings, charts or graphs.

In most cases, your initial proposal letter should be part of a strategy to secure a personal interview with an official of the foundation. Your goal should be to build a rapport between your organization and the foundation officials.

GRANTSMAN'S TIP:

Build a credibility file for your program and keep it handy to draw upon for proposals. In addition to endorsements, resumes and other supportive documents, keep quotes from experts, studies or other citations which support the value of what you're proposing.

Securing A Foundation Appointment To Present Your Case

If it is possible, seek a personal appointment with a foundation official in order to present your program. Proposals are seldom funded on the basis of written contact only. This means that you must plan to budget some travel funds in order to meet personally with foundation grants officers outside of your immediate area.

The "openness" of foundations varies widely. Most prefer to receive a letter proposal prior to scheduling

an appointment. However, some will set up meetings based on a phone conversation. Some foundations require an applicant to have an introduction by a person known and respected by them before they will meet with that applicant. In these cases you can often arrange such an introduction by reviewing foundation Board members and previous grantees to find someone known to you who can be asked to supply an introduction.

Prior to a personal interview, it is important to plan carefully how to make best use of the 30-45 minutes you are likely to have with the foundation official. Consider:

1. Who should represent the agency?
2. What materials do you want to present?
3. How can you make sure to get enough feedback from the foundation official to know how he feels about your project — and how can you tailor it to the foundation's expressed interests or restrictions?
4. Determine clearly in the interview the foundation's timetable for funding. These change from year to year.
5. How will visuals (charts, photos) or audio-visuals strengthen your presentation?

Foundation Review Process

Once your application has been received by the foundation, it will go through a formal review process by the foundation staff, and often by outside experts as well.

On the basis of this proposal review, the foundation may suggest certain modifications for your consideration. A grant is in effect a contract between two parties, and a process of negotiation usually is involved to develop a grant document which is satisfactory to both parties.

GRANTSMAN'S TIP:

Keep your funding information flowing. Subscribe to specialized publications or services which will keep you informed of new grant opportunities.

"What NOT To Do When Approaching Foundations"

1. Don't send out tens or hundreds of duplicated proposals to foundations.
2. Don't assume because you see one foundation give a grant to a project similar to yours that the foundation will be interested in your project. Review the foundation's total record of giving and current policies.
3. Don't develop a project which departs from your organization's goals and direction simply to take advantage of special grant programs. Such attempts are usually transparent.
4. Don't submit a government grant application to a foundation.
5. Don't ask a foundation to replace public monies no longer in your budget.
6. Don't pad your budget with frills; don't underestimate your real costs. Be realistic.
7. Don't assume foundations have unlimited money for any type of project.
8. Don't fail to mention past grants which you have received.
9. Don't discuss only one project at a foundation interview; seek the foundation's reaction to many possible projects.
10. Don't ask for general operating support if you can help it. Redefine your budget in terms of specific project areas.
11. Don't expect a foundation to support your project for more than a few years.
12. Don't forget to thank a foundation for its support; give the donor some credit for the project's success.
13. Don't make a desperation appeal to a foundation. Most foundations are unwilling to support an appeal that says, "If you don't fund us now, we'll be dead!"
14. Don't neglect details of a proposal. It should be complete, neat, in proper business format and free from all typographical errors.
15. Don't think of a foundation as a nameless, faceless money machine. Each foundation is composed of men and women with unique personalities. Build rapport with the people involved.

Appendix

Resources for Grant-Seekers

A. Funding Sources Clearinghouse

Funding Sources Clearinghouse, created in 1971, is a nonprofit, tax-exempt organization which serves as a national research service bureau providing ready access to funding information and personal, professional research for grant-seeking agencies of all kinds.

FSC maintains data on more than 50,000 grant programs, including all American foundations, government programs, corporations and grant-making associations. FSC researchers gather information from all available sources. Then the data is analyzed and coded for easy retrieval in response to specific requests from grant-seeking agencies. By using this retrieval system, FSC can target those funding sources which are the best prospects for specific projects and provide grant-seekers with detailed profiles on foundations.

FSC members include nonprofit agencies of all kinds. They support the maintenance of the data

bank and other FSC services which include:

- **Grant Searches:** to identify the best funding prospects for individual programs;
- **Biographical Profiles** on foundation officers and trustees;
- **Operation Alert:** immediate notices of timely funding information geared to specific interest areas;
- **Grants Monitor:** monthly report of current funding information;
- **Reference Services:** write, phone or visit FSC offices for answers to special questions;
- **Proposal Evaluation and Refinement Service:** offers a critique by experienced grant-makers to improve your proposal *before* you submit it for funding.

More information can be obtained from Funding Sources Clearinghouse, 2600 Bancroft Way, Berkeley, CA 94704.

B. The Foundation Center

The Foundation Center is a nonprofit independent organization which collects factual information about foundations and makes it available to the public through its libraries, research activities and publications. The Center is supported by the foundations and acts primarily in a library capacity; it is prohibited from doing research or making referrals for

individual organizations.

The Foundation Center maintains three national collections and a number of regional collections which are open to the public and contain microfilm collections of IRS information returns, foundation annual reports and reference publications. These collections are listed on the next pages.

Publications of The Foundation Center

Foundation Directory, The, Edition 5. Edited by Marianna O. Lewis. Published by The Foundation Center. Distributed by Columbia University Press, Irvington, New York, 10533. 1975. 516 pp. \$30. The directory gives complete listings on 2533 of the largest foundations in the country. Appendices contain a special section, "Other Sources of Information," which describes the services and publications of The Foundation Center, articles by foundation officials on proposal planning, and a bibliography. Edition 5 will have four semiannual supplements, with indexes of all 26,000 foundations, arranged by state, and updated data. Analytical introduction by Thomas R. Buckman, President of The Foundation Center, with 15 tables describing the characteristics and composition of the foundation field, available free on request from Foundation Center collections.

Foundation Center Source Book, The, 1975/76, Vol. I and II. Distributed by Columbia University Press, Irvington, New York 10533. Authoritative profiles of major grant-making foundations. Includes all national and major regional foundations. Lists every grant in year of record plus detailed statements of policies, programs, application procedures, and recent fiscal data. Over 1000 pp. per volume. \$65 per volume.

Foundation News. Published by Council on Foundations. \$20 a year. Box 783, Old Chelsea Station, New York 10011. Bimonthly journal with features and news of foundation field, index of recent grants. \$20.

Foundation Grants Index, 1974 edition. Published by Columbia University Press. Annual volume compiling 10,000 major grants listed in *Foundation News*. \$15.

Grants, Subjects. Grants listed by more than 30 areas of interest. Issued annually on microfiche and updated yearly. \$3 per fiche.

About Foundations. Published by The Foundation Center. A concise illustrated guide to foundation information. 40 pp. \$2.

Foundation Information Returns (IRS Forms 990 & 990-AR) Film copies of basic records filed by every private foundation with IRS. May be inspected without charge at The Foundation Center's regional collections.

The following are available free from Foundation Center collections:

Mayer, Robert A. "What Will a Foundation Look for When You Submit a Grant Proposal?" 1972. 8 pages. Mayer, formerly Assistant to the Vice-President for Administration of the Ford Foundation and now Assistant Director, Grants, of the New York Community Trust, explains the screening and review process of large foundations.

Jacquette, F. Lee and Barbara I. "What Makes a Good Proposal?" 1973. 8-page leaflet. A concise checklist for those writing proposals to present to foundations. Mr. Jacquette is treasurer of the Carnegie Corporation of New York.

Philanthropy in the United States: History and Structure by F. Emerson Andrews, President Emeritus of The Foundation Center. Contains brief bibliography of philanthropic foundations. 48 pp.

National Collections

The Foundation Center
888 Seventh Avenue
New York, New York 10019

The Foundation Center
1001 Connecticut Avenue, N.W.
Washington, D.C. 20036

Donor's Forum
208 South LaSalle Street
Chicago, Illinois 60604

Regional Collections

ALABAMA	Geographical Coverage	KENTUCKY	Geographical Coverage
Birmingham Public Library 2020 Seventh Avenue, North Birmingham 35203	<i>Alabama</i>	Louisville Free Public Library Fourth and York Streets Louisville 40203	<i>Kentucky</i>
ARKANSAS		LOUISIANA	
Little Rock Public Library Reference Department 700 Louisiana Street Little Rock 72201	<i>Arkansas</i>	New Orleans Public Library Business and Science Division 219 Loyola Avenue New Orleans 70140	<i>Louisiana</i>
CALIFORNIA		MAINE	
University Research Library Reference Department University of California Los Angeles 90024	<i>Arizona, California, Colorado, Nevada, Utah</i>	University of Maine at Portland- Gorham Center for Research and Advanced Study 246 Deering Avenue Portland 04102	<i>Maine</i>
San Francisco Public Library Business Branch 530 Kearny Street San Francisco 94108	<i>Alaska, California, Colorado, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington, Wyoming</i>	MARYLAND	
COLORADO		Enoch Pratt Free Library Social Science and History Department 400 Cathedral Street Baltimore 21201	<i>Maryland</i>
Denver Public Library Sociology Division 1357 Broadway Denver 80203	<i>Colorado</i>	MASSACHUSETTS	
CONNECTICUT		Associated Foundation of Greater Boston One Boston Place, Suite 948 Boston 02108	<i>Connecticut, Massachusetts</i>
Hartford Public Library Reference Department 500 Main Street Hartford 06103	<i>Connecticut, Massachusetts, Rhode Island</i>	Boston Public Library Copley Square Boston 02117	<i>Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont</i>
FLORIDA		MICHIGAN	
Jacksonville Public Library Business, Science, and Industry Department 122 North Ocean Street Jacksonville 32202	<i>Florida</i>	Henry Ford Centennial Library 15301 Michigan Avenue Dearborn 48126	<i>Michigan</i>
Miami-Dade Public Library Florida Collection One Biscayne Boulevard Miami 33132	<i>Florida</i>	Grand Rapids Public Library Sociology and Education Department Library Plaza Grand Rapids 49502	<i>Michigan</i>
GEORGIA		MINNESOTA	
Atlanta Public Library 126 Carnegie Way, N.W. Atlanta 30303	<i>Florida, Georgia, South Carolina, Tennessee</i>	Minneapolis Public Library Sociology Department 300 Nicollet Mall Minneapolis 55401	<i>Iowa, Minnesota, North Dakota, South Dakota</i>
HAWAII		MISSISSIPPI	
Thomas Hale Hamilton Library Humanities and Social Sciences Division 2550 The Mall Honolulu 96822	<i>California, Hawaii, Oregon, Washington</i>	Jackson Metropolitan Library 301 North State Street Jackson 39201	<i>Mississippi</i>
IOWA		MISSOURI	
Des Moines Public Library 100 Locust Street Des Moines 50309	<i>Iowa</i>	Kansas City Public Library 311 East 12th Street Kansas City 64106	<i>Kansas, Missouri</i>
INDIANA		The Danforth Foundation Library 222 South Central Avenue St. Louis 63105	<i>Illinois, Missouri</i>
Indianapolis - Marion County Public Library 40 East St. Clair Street Indianapolis 46204	<i>Indiana</i>	MONTANA	
KANSAS		Eastern Montana College Library Reference Department Billings 59101	<i>Montana</i>
Topeka Public Library Adult Services Department 1515 West Tenth Street Topeka 66604	<i>Kansas</i>	NEBRASKA	
		Omaha Public Library 1823 Harney Street Omaha 68102	<i>Nebraska</i>

	Geographical Coverage		Geographical Coverage
NEW HAMPSHIRE The New Hampshire Charitable Fund One South Street Concord 03301	<i>New Hampshire</i>	SOUTH CAROLINA South Carolina State Library Reader Services Department 1500 Senate Street Columbia 29211	<i>South Carolina</i>
NEW JERSEY New Jersey State Library Reference Section 185 West State Street Trenton 08625	<i>New Jersey</i>	TENNESSEE Memphis Public Library 1850 Peabody Avenue Memphis 38104	<i>Tennessee</i>
NEW YORK New York State Library State Education Department Education Building Albany 12224	<i>New York</i>	TEXAS The Hogg Foundation for Mental Health The University of Texas Austin 78712	<i>Arkansas, Louisiana, New Mexico, Oklahoma, Texas</i>
Buffalo and Erie County Public Library Lafayette Square Buffalo 14203	<i>New York</i>	Dallas Public Library History and Social Sciences Division 1954 Commerce Street Dallas 75201	<i>Texas</i>
Levittown Public Library Reference Department One Bluegrass Lane Levittown 11756	<i>New York</i>	UTAH Salt Lake City Public Library Information and Adult Services 209 East Fifth Street Salt Lake City 84111	<i>Utah</i>
Rochester Public Library Business and Social Sciences Division 115 South Avenue Rochester 14604	<i>New York</i>	VERMONT State of Vermont Department of Libraries Reference Services Unit 111 State Street Montpelier 05602	<i>New Hampshire, Vermont</i>
NORTH CAROLINA William R. Perkins Library Duke University Durham 27706	<i>North Carolina</i>	VIRGINIA Richmond Public Library Business, Science, & Technology Department 101 East Franklin Street Richmond 23219	<i>Virginia</i>
OHIO The Cleveland Foundation Library 700 National City Bank Building Cleveland 44114	<i>Ohio</i>	WASHINGTON Seattle Public Library 1000 Fourth Avenue Seattle 98104	<i>Washington</i>
OKLAHOMA Oklahoma City Community Foundation 1300 North Broadway Oklahoma City 73103	<i>Oklahoma</i>	WEST VIRGINIA Kanawha County Public Library 123 Capitol Street Charleston 25301	<i>West Virginia</i>
OREGON Library Association of Portland Education and Psychology Department 801 S.W. Tenth Avenue Portland 97205	<i>Alaska, California, Hawaii, Oregon, Washington</i>	WISCONSIN Marquette University Memorial Library 1415 West Wisconsin Avenue Milwaukee 53233	<i>Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio, Wisconsin</i>
PENNSYLVANIA The Free Library of Philadelphia Logan Square Philadelphia 19103	<i>Delaware, New Jersey, Pennsylvania</i>	WYOMING Laramie County Community College Library 1400 East College Drive Cheyenne 82001	<i>Wyoming</i>
Hillman Library University of Pittsburgh Pittsburgh 15213	<i>Pennsylvania</i>	PUERTO RICO Consumer Education and Service Center Department of Consumer Affairs Minillas Central Government Building North Santurce 00908	<i>Selected foundations</i>
RHODE ISLAND Providence Public Library Reference Department 150 Empire Street Providence 02903	<i>Rhode Island</i>		

C. Other Books and Publications

(Some of these may be available in public or educational libraries.)

Cunninggim, Merrimom. *Private Money and Public Service: The Role of Foundations in American Society*. McGraw-Hill Book Company, New York, 1972. 267 pp. An examination of recent criticism of foundations and a look at their achievements, the candid judgments of Mr. Cunningham, who was chief executive officer of the Danforth Foundation for more than a decade.

Giving in America: Toward a Stronger Voluntary Sector. Report of the Commission on Private Philanthropy and Public Needs (Filer Commission). 1975. 240 pp. Results of 2½ year study. Available for \$1.50 from The Commission, Suite 800, 1776 K St., N.W., Washington, DC.

Goulden, Joseph C. *The Money Givers*, Random House, New York, 1971. 341 pp. A journalist examines "all aspects of the tax-free foundation," advertised as in the muckraking tradition, but much better than that.

Grantsmanship Center News, The. Published by the Grantsmanship Center, a non-profit, tax-exempt educational institution, 1015 W. Olympic Blvd., Los Angeles, California 90015. Magazine with advice on obtaining grants, writing proposals, etc., news of new grant programs and of grants field in general. Eight issues per year. \$15. The Center also runs 4½ day Grantsmanship Training Programs around the country.

Heimann, Fritz R. (Editor) *The Future of Foundations*. The American Assembly, distributed by Prentice-Hall, Inc., 1973. 278 pp. Background papers prepared for the 1972 Arden House Conference on the problems of American foundations.

Hillman, Howard and Abarbanel, Karen. *The Art of Winning Foundation Grants*. The Vanguard Press, New York, 1975. A sound primer with suggestions on how foundations and grant seekers can have better communication in discussing their respective needs and requirements.

Nielsen, Waldemar A. *The Big Foundations*. A Twentieth Century Fund study. Columbia University Press, 1972. 475 pp. A hard hitting, critical examination of the 33 largest foundations by a former executive of the Ford Foundation, with sweeping recommendations for reform.

Smith, William H. and Chiechi, Carolyn P. *Private Foundations Before and After the Tax Reform Act of 1969*. American Enterprise Institute for Public Policy Research, Washington, D.C. 1974. 83 pp. A thoughtful study of the effect of the tax reform act on foundation giving.

Tilley, Herbert T. *Preparing Educational Proposals, a Guide for Teachers*, National Education Association, Washington, D.C. 20036. 1976. 32-page booklet outlining procedures for formulating, writing and rating proposals to both federal and private educational funding organizations.

White, Virginia P. *Grants: How to Find Out About Them and What to do Next*. Published by Plenum Press, New York and London. 1975. A substantial book of wide scope that covers government funding sources as well as foundations.